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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	CHEM.004US2
First Named Inventor or Application Identifier	Small et al.
Title	Catalytic Composition for Chemical-Mechanical Polishing, Method of Using Same, and Substrate Treated with Same
Express Mail Label No.	EV 321716117 US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

**ADDRESS TO:** Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

1. ☒ Fee Transmittal Form - *see page 2 of this form.*  
(Submit an original, and a duplicate for fee processing)
2. Application:
  - ☒ Specification: (preferred arrangement set forth below)  
Descriptive title of the Invention,  
Background of the Invention,  
Summary of the Invention, and  
Detailed Description (all totaling 22 pages)
  - ☒ Claim(s) 7 pages
  - ☒ Abstract of the Disclosure 1 page
3. ☐ Drawing(s) (35 USC 113)  
[Total Sheets     ]
4. Oath or Declaration ☐ unsigned [Total Pages 2]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from prior application (37 CFR §1.63(d))  
(for continuation/divisional with Box 17 completed)
  - c. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
5. ☒ Incorporation By Reference (useable if Box 4b is checked) The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program Appendix consisting of      pages of microfiche containing      frames on each page in accompanying envelope.
7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Copy
  - b. ☐ Paper Copy (identical to computer copy)
  - c. ☐ Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

8. ☐ Assignment Papers (cover sheet & documents)      pages
9. ☐ 37 CFR §3.73(b) Statement ☐ Power of Attorney  
(combined when there is an      with Patent Declaration above.)
10. ☐ English Translation Document (if applicable)
11. ☒ Information Disclosure Statement (2 pages) ☒ Courtesy Information Disclosure Statement (2 pages)  
PTO Form 1449 (1 page) Copies of IDS (2 pages)  
& 2 References PTO Form 1449 (3 pages)  
PTO 892 Form (1 page)
12. ☒ Preliminary Amendment 4 pages
13. ☒ Return Receipt Postcard (MPEP 503)  
(should be specifically itemized)
14. Small Entity Status
  - ☐ Small Entity Statement Enclosed      pages
  - ☐ Statement filed in prior application; and status still proper and desired
  - ☐ Is no longer claimed.
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☒ Other:
  - ☒ Copy of Petition for Extension of Time filed in parent appln.;
  - ☐

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information and a preliminary amendment:

- ☒ Continuation ☐ Divisional of prior application No. 10/074,757  
Filed on February 11, 2002, entitled: Catalytic Composition for Chemical-Mechanical Polishing, Method of Using Same, and Substrate Treated with Same.

PRIOR APPLICATION INFORMATION: Examiner Marcheschi, Michael A. Group Art Unit 1755**18. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Labelor ☒ Correspondence address below**36257**

Name	K. Alison de Runtz		Reg. No. 37,119
Attorneys for Applicant	Parsons Hsue & de Runtz LLP		
Address	655 Montgomery Street, Suite 1800		
City	San Francisco	State	CA
Country:	United States	Telephone	(415) 318-1160
		Zip Code	94111
		Fax	(415) 693-0194



## 19. Fee calculations.

CLAIMS (Number Filed)	(1) FOR	(2)		(3) NUMBER EXTRA		(4) RATE		(5) CALCULATIONS
68	TOTAL CLAIMS (37 CFR 1.16(c))	-20	=	48	x	\$18	=	\$ 864.00
1	INDEPENDENT CLAIMS (37 CFR 1.16(b))	-3	=	0	x	\$84	=	\$ 0.00
<input checked="" type="checkbox"/>	MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.18(d))				+	\$280.00	=	\$280.00
BASIC FEE (37 CFR 1.16(a))							=	\$ 750.00
Total of above Calculations							=	\$ 0.00
Reduction by 50% for filing by small entity (Note 31 CFR 1.9, 1.27, 1.28).							=	
TOTAL							=	\$1894.00

## 20. FEES:

☒ A check is enclosed for \$1894.00.

The Commissioner is hereby authorized to credit overpayments or charge the following fees or any additional fees required to Deposit Account No. 502664:

- a. ☒ Fees required under 37 CFR 1.16. (U.S. Application Filing Fees)  
 b. ☒ Fees required under 37 CFR 1.17. (Conditional Extension of Time Fees)  
 c. ☒ Fees required under 37 CFR 1.18. (Patent Issue Fees)

21. ☐ Other: \_\_\_\_\_

**NOTE:** The prior application's correspondence address will carry over to this UPA UNLESS a new correspondence address is provided below.

## 22. NEW CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label		<b>36257</b>		<input checked="" type="checkbox"/> New correspondence address below	
NAME	K. Alison de Runtz, Parsons Hsue & de Runtz LLP				
ADDRESS	655 Montgomery Street, Suite 1800				
CITY	San Francisco	STATE	California	ZIP CODE	94111
COUNTRY	U.S.A.	TELEPHONE	(415) 318-1160	FAX	(415) 693-0194

## 23. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

Parsons Hsue & de Runtz LLP 655 Montgomery Street, Suite 1800 San Francisco, CA 94111 Tel. (415) 318-1160 Fax. (415) 693-0194	
Date:	July 14, 2003
Name	K. Alison de Runtz Reg. No. 37,119
Signature	
Express Mail Label No.	EV 321716117 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Small et al.  
Assignee: EKC Technology, Inc.  
Title: Catalytic Composition for Chemical-Mechanical Polishing, Method of Using Same, and Substrate Treated with Same  
Application No.: 10/074,757 Filing Date: February 11, 2002  
Examiner: Marcheschi, Michael A. Group Art Unit: 1755  
Docket No.: CHEM.004US0 Conf. No.: 9276

Certificate of Mailing Under 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope address to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on 7/14/03

Signature

*Gileen Bower*

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

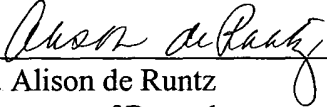
**PETITION FOR EXTENSION OF TIME**

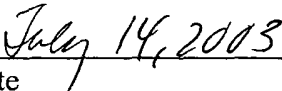
Dear Sir:

Applicants respectfully petition for a three-month extension of time within which to respond to the January 15, 2003 outstanding Office Action, such extension allowing the undersigned until July 15, 2003 to respond.

A check is enclosed that includes the amount of \$930.00, as set forth in the enclosed transmittal letter.

Respectfully submitted,

  
K. Alison de Runtz  
Attorney of Record  
Reg. No. 37,119

  
Date

PARSONS HSUE & DE RUNTZ LLP  
655 Montgomery Street, Suite 1800  
San Francisco, CA 94111  
(415) 318-1160  
(415) 693-0194 fax